

Applicant or Patentee: LIPPER, Arthur, III

Attorney's Docket No: LIPPER, Arthur-PA-1

Serial or Patent No.: To be assigned

Filed or Issued: December 6, 2001

For: DYNAMIC SECURITY PRICE AND VALUE COMPARATOR AND INDEXER

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR §1.9(f) and 1.27(c)(1)) - INDEPENDENT INVENTOR**

The below named inventor qualifies as an independent inventor as defined in 37 CFR §1.27(a) for purposes of paying reduced fees under sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled DYNAMIC SECURITY PRICE AND VALUE COMPARATOR AND INDEXER described in

☒ the specification filed December 6, 2001

☐ provisional application serial no. \_\_\_\_\_, ☐ patent no. \_\_\_\_\_, ☐ issued ☐ filed

The below named inventor has not assigned, granted, conveyed or licensed and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR §1.27(a)(1) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR §1.27(a)(2) or a nonprofit organization under 37 CFR §1.27(a)(3).

Each person, concern or organization to which the below named inventor has assigned, granted, conveyed, or licensed or is under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below.

☒ no such person, concern, or organization

☐ persons, concerns, or organizations listed below

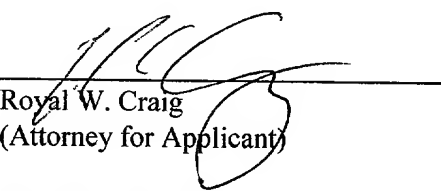
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☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, new determination of entitlement to small entity status, or notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR §1.27(g)(1)&(2)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made shall be considered as a fraud practiced or attempted on the Office (37 CFR §1.27(h)(1)&(2)), and are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

  
Royal W. Craig  
(Attorney for Applicant)

Date 12/6/01

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